

U.S. Department of Energy

Non-Supervisory Performance Plan and Appraisal Form

This form serves as an official record of the employee's performance expectations and other key performance appraisal activities occurring during the rating period.

1. Employee Name:		2. Pay Plan/Series/Grade:	
3. Position Title:		4. Organization:	5. Duty Station:
6. Performance Period:			
Start date:		End date:	
7. Select the appropriate rating under this plan.			
<input type="checkbox"/> Annual Rating of Record			
<input type="checkbox"/> Advisory Rating			
<input type="checkbox"/> Detail	<input type="checkbox"/> Position Change	<input type="checkbox"/> Temporary Promotion	<input type="checkbox"/> Other (Specify)
<input type="checkbox"/> Special Rating of Record Based On:			

Part I: Critical Elements:		
A. Job Performance Elements:		
Critical Element	Standard	Weight
•		
•		
•		
•		
Total Weight =		90 pts.
B. Employee Performance Attributes:		
Attribute	Standard	Weight
• Responsibility/Accountability	-Sets well-defined and realistic professional goals; displays initiative, effort and commitment towards completing assignments in a timely manner while maintaining the integrity of the organization. -Identifies problems; determines accuracy and relevance of information; uses sound judgment to generate and evaluate alternatives and to make recommendations. -Willingly accepts personal responsibility and accountability for individual contributions and those made as a member of a team. -Completes professional development requirements and opportunities to maintain state-of-the-art skills. -Exhibits ethical behavior and treats others with courtesy, respect and fairness. -Earns the trust of others and exhibits ethical behavior. -Practices safe work habits and takes action to resolve unsafe	2

	conditions. -Adheres to relevant government and organization policies and regulations. -Practices safe work habits and takes action to resolve unsafe conditions.	
• Communication	-Shares information openly and regularly with others. -Presents complex/technical information in a logical, understandable and persuasive manner, where appropriate -Routine written/oral communications are clear, accurate, concise, and well organized. - Listens to other's ideas and points of view, and seeks to clarify for understanding. -Uses communication methods appropriate to situation (e-mail, voice-mail, meetings, etc.).	2
• Teamwork	-Builds and maintains collegial, effective relationships that facilitate achieving desired goals. -Uses collaborative decision making techniques to facilitate teamwork. -Exhibits willingness to support others in the accomplishment of their assignments. -Readily celebrates team success. -Actively contributes to accomplishment of organizational goals. -Supports organizational decisions once they are made. -Shares knowledge, expertise, information and credit freely across levels and functions.	2
• Innovation/Quality Improvement	-Initiates and/or supports quality improvements in systems, services, or work processes. -Recommends alternatives to established thinking, policies, practices, methods and approaches designed to achieve organizational efficiency, cost savings/avoidance, etc. -Is cooperative, constructive, and adaptable in response to new ideas, to changing situations, and to technological innovations.	2
• Customer Service	-Responds appropriately and in a timely fashion to customers/stakeholders concerns and requests, reacting constructively to changes in needs and priorities. -Anticipates customer needs and prepares/reacts accordingly. -Consistently helps customers and partners overcome problems or difficulties. -Keeps customers and partners up to date on progress. -Designs and adapts products and services to meet customer needs. -Meets schedules and commitments. -Markets/communicates available services to customers/clients.	2
Total Weight =		10 pts

- Add Additional Pages as Necessary -

C. Acknowledgement of Performance Plan:

The employee has been afforded the opportunity to discuss the critical elements and standards with the rating official and has received a copy of this plan. By signing below, the rating official and the employee acknowledge the discussion of the job performance and employee performance attributes critical elements set forth in Part I, Sections A and B.

Rating Official's Name (Typed or Printed):	Rating Official's Signature:	Date:

Reviewing Official's Name (Typed or Printed):	Reviewing Official's Signature::	Date:
Employee's Name (Typed or Printed):	Employee's Signature:	Date:
<input type="checkbox"/> Employee declined to sign form. <input type="checkbox"/> Employee not available to sign form.	Comments:	Date:

Part II: Progress Review			
A. First or only required progress review of critical elements.			
Job Performance		Comments/Assessment	
•			
•			
•			
•			
Employee Performance Attributes		Comments/Assessment	
• Responsibility/Accountability			
• Communication			
• Teamwork			
• Innovation/Quality Improvement			
• Customer Service			
Rating Official's Signature		Employee's Signature	
Date		Date	

B. If applicable, second progress review of critical elements.			
Job Performance		Comments/Assessment	
•			
•			
•			
•			
Employee Performance Attributes		Comments/Assessment	
• Responsibility/Accountability			

• Communication	
• Teamwork	
• Innovation/Quality Improvement	
• Customer Service	
Rating Official's Signature Date	Employee's Signature Date

Part III: Annual Summary Review	
A. Final review of critical elements	
Job Performance Critical Elements	Comments/Assessment
•	
•	
•	
•	
Employee Performance Attributes	Comments/Assessment
• Responsibility/Accountability	
• Communication	
• Teamwork	
• Innovation/Quality Improvement	
• Customer Service	

Part III: Annual Summary Rating:					
A. Calculation of employee performance attributes critical element score. The collective weight of the attributes critical elements is fixed at 10 points. The weight for an individual attribute may range from 1 to 3 points.					
Employee Performance Attributes	Assigned Weight	x	Rating Value (1, 0.5, or 0)	=	Score
• Responsibility/Accountability		x		=	
• Communication		x		=	
• Teamwork		x		=	
• Innovation/Quality Improvement		x		=	
• Customer Service		x		=	
Performance Attributes Total	10			=	

B. Calculation of the summary performance score of the critical elements.					
All Critical Elements	Assigned Weight	x	Rating Value (1, 0.5, or 0)	=	Score
•		x		=	
•		x		=	
•		x		=	
•		x		=	
• Employee Attributes (Total score from Part III, Sect. A.) See notes (1) and (2) listed below.				=	
Summary performance score =				=	

Notes:

(1) A rating of Needs Improvement on the Attributes Critical Element is assigned if an employee receives either:

- a rating of Needs Improvement on two or more attributes; or
- a rating of Fails to Meet Expectations on one attribute and Needs Improvement on another.

(2) A rating of Fails to Meet Expectations on the Attributes Critical Element is assigned if an employee receives a rating of Fails to Meet Expectations on two or more attributes. 0 points must be assigned to each individual attribute rated at the Fails to Meet Expectations level.

Table 1. Summary Rating Conversion Codes.		
Total Score	Summary Rating	Code
95-100	Significantly Exceeds Expectation	SE
80-94	Significantly Exceeds Expectation	SE
50-79	Meets Expectations	ME
49 or below; no element rated FME	Needs Improvement	NI
1 or more elements rated FME	Fails to Meet Expectation	FME

C. Overall Summary Rating:	
a. Summary performance score = (Score located in Part III, Section B)	
b. Overall summary rating =	

Part IV. Acknowledgement of discussion of overall summary rating.		
Rating Official's Name (Typed or Printed):	Rating Official's Signature:	Date:
Reviewing Official's Name (Typed or Printed):	Reviewing Official's Signature::	Date:
The employee's signature confirms that the overall summary rating has been discussed with the rating official. The signature does not indicate agreement with rating or the appraisal recommendation. (Attach comments as applicable.)		
Employee's Name (Typed or Printed):	Employee's Signature:	Date:

<input type="checkbox"/> Employee declined to sign form.	Comments:	Date:
<input type="checkbox"/> Employee not available to sign form.		

Privacy Act Statement

This performance appraisal form is subject to the provisions of the Privacy Act of 1974 (P.L. 93-579: Statute 1896. Copies will be retained and provided for review by appropriate management officials. The form is used to document the evaluation of the incumbent's performance in completing the assigned critical elements. The information is also used to determine performance award eligibility and compensation benefits. The authority to collect this information is derived from 5 USC 4305 and 5 CFR Part 430, Performance Management. The information will not be disclosed outside the Department without prior consent, except as required or permitted by law or Office of Personnel Management notices.

Instructions

Part I – Critical Performance Elements

List two to five critical elements along with the standards and weights for each as specified under the DOE Performance Management Policy for Non-Supervisory Employees. At least one of the job performance critical elements must link to the mission or strategic goals of the Department. Weights should be assigned to each job performance critical element and the employee performance attributes to reflect its importance to the employee's overall performance.

Section A - Job Performance Elements: Annotate the critical elements addressing organizational mission and goals, major functional activities/responsibilities, or key programs. The collective weight of the job performance elements must equal 90 pts.

Section B - Employee Performance Attributes: Annotate the critical elements addressing the employee performance attributes. The collective weight of the employee performance attributes must equal 10 pts.

Standards: Define each performance standard at the "Meets Expectations" level based on objective criteria.

The criteria should be conveyed to the employee at the beginning of the rating cycle or when added to the plan.

Weights: The rating official, with input from the employee, will assign weights to the critical elements in order to convey distinctions in the importance of key job responsibilities. The minimum weight for any critical job performance element must be at least 10 and expressed as a whole number. The rating official must discuss the impact of assigned weights with the employee during all key "milestones" of the performance appraisal process – the development of the performance plan, progress review(s), and annual review.

Section C - Acknowledgement of Performance Agreement: The signatures in this section, affirm the discussion by the parties regarding the job performance and employee performance attributes critical elements set forth in Part I, Sections A and B. The discussion should address examples of performance required to meet the standards, as well as the consequences of not meeting them. While not required, it is recommended that the reviewing official participate in this process if applicable.

Part II – Progress Review:

The rating official will conduct one or two progress reviews with the employee during the performance period as required by the organization's policy. The parties may discuss modifications to the performance agreement to include the addition or deletion of critical elements, as well as adjustments of assigned weights. The rating official will document the discussions addressing modifications to the plan and necessary improvement of performance. The rating official and the employee will initial changes to the plan. If applicable, the reviewing official should approve the changes.

Section A – First or only required progress review. Annotate as appropriate.

Section B – Second progress review, if applicable. Annotate as appropriate.

Part III – Annual Summary Rating:

The annual summary performance rating score is computed by multiplying the weight assigned to each critical element by its evaluation point value. An exception to this computation method exists if one or more critical elements is rated FME. A FME rating of any critical elements results in an overall summary rating of FME.

Section A – Calculation of employee performance attributes critical element score: Calculate the performance score for each employee performance attribute by multiplying the assigned weight of the element by its rating point value. The overall employee performance attribute score is obtained by determining the sum (total) of the individual attribute scores.

Section B – Calculation of the summary performance score: Multiply the assigned weight of each critical element by its rating point value. Use the total employee performance attributes score annotated in Part III,

Section A. Determine the summary performance score by obtaining the sum of the individual critical element scores.

Section C. – Overall Summary Rating

a. Summary performance score: Obtain this score from Part III, Section B.

b. Overall summary rating: Determine the overall summary rating by converting the numerical summary performance rating in Part III, Section B to the overall summary rating code in accordance with Table 1.

Part IV – Acknowledgement of discussion of overall summary rating: The rating official, reviewing official, and employee should sign the acknowledgement as indicated.